

APPENDIX TO SUBPART D OF PART 151—BALLAST WATER REPORTING FORM AND  
INSTRUCTIONS FOR BALLAST WATER REPORTING FORM

## INSTRUCTIONS FOR BALLAST WATER REPORTING FORM

(Please write in English and PRINT legibly.)

**Is this an Amended Ballast Reporting Form?:** Check Yes or No. Amendments should be submitted if there are any differences between actual ballast discharges and discharge information reported in a prior form. Please mark "Yes" if this form amends a previously submitted ballast reporting form.

## SECTION 1. VESSEL INFORMATION

**Vessel Name:** Print the name of the vessel clearly.

**IMO Number:** Fill in identification number of the vessel used by the International Maritime Organization.

**Owner:** Write in the name of the registered owner(s) of the vessel. If under charter, enter Operator name.

**Type:** List specific vessel type. Use the following abbreviations: bulk (bc), ro-ro (rr), container (cs), tanker (ts), passenger (pa), oil/bulk ore (ob), general cargo (gc), reefer (rf). Write out any additional vessel types.

**GT:** What is the Gross Tonnage of the vessel?

**Call Sign:** Write in the official call sign.

**Flag:** Fill in the full name of the country under whose authority the ship is operating. No abbreviations please.

## SECTION 2. VOYAGE INFORMATION

**Arrival Port:** Write in the name of your first port of call after entering the U.S. EEZ or St. Lawrence Seaway. No abbreviations.

**Arrival Date:** Fill in the arrival date to the above port. Please use European date format (DDMMYY).

**Agent:** List agent used for current port.

**Last Port:** Fill in the last port at which the vessel called immediately before entering the U.S. EEZ.

No abbreviations please.

**Country of Last Port:** Fill in the last country at which the vessel called immediately before entering the U.S. EEZ.

No abbreviations please.

**Next Port:** Fill in the port at which the vessel will call immediately after departing the current port

("Current Port"="Arrival Port" above). No abbreviations please.

**Country of Next Port:** Fill in the country of "Next Port" at which the vessel will call immediately after current port. No abbreviations please.

## SECTION 3. BALLAST WATER

**Total Ballast Water on Board:**

**Volume:** What was the total volume of ballast water on board upon arrival into the waters of U.S. EEZ? Do not count potable water.

**Units:** Please include volume units (m<sup>3</sup>, MT, LT, ST).

**Number of Tanks in Ballast:** Count the number of ballast tanks and holds with ballast as vessel enters waters inside the United States EEZ.

**Total Ballast Water Capacity:**

**Volume:** What is the maximum volume of ballast water used when no cargo is on board?

**Units:** Please include volume units (m<sup>3</sup>, MT, LT, ST).

**Total Number of Tanks on Ship:** Count all tanks and holds that can carry ballast water (do not include tanks that carry potable water).

## SECTION 4. BALLAST WATER MANAGEMENT

**Total No. of tanks to be discharged:** Count only tanks and holds with ballast to be discharged into waters inside the United States EEZ or into an approved reception facility. Count all tanks and holds separately (e.g., port and starboard tanks should be counted separately).

**Of tanks to be discharged, how many Underwent Exchange:** Count all tanks that are to be discharged into waters of the United States or into an approved reception facility.

**Of tanks to be discharged, how many Underwent Alternative Management:** Count all tanks that are to be discharged into waters of the United States or an approved reception facility.

**Please specify alternative method(s) used, if any:** Specifically, describe methods used for ballast management.

**If no ballast treatment conducted, state reason why not:** This applies to all tanks and holds being discharged into waters of the

United States or into an approved reception facility.

**Ballast Management Plan on board?:** Is there a written document on board, specific to your vessel, describing the procedure for ballast management? This should include safety and exchange procedures (usually provided by vessel's owner or operator). Check Yes or No.

**Management Plan implemented?:** Do you follow the above management plan? Check Yes or No.

**IMO Ballast Water Guidelines on board?:** Is there a copy of the International Maritime Organization (IMO) Ballast Water Guidelines on board this vessel (i.e. "Guidelines for the Control and Management of Ship's Ballast Water to Minimize the Transfer Aquatic Organisms and Pathogens", [Res. A.868(20)])? Check Yes or No.

## SECTION 5. BALLAST WATER HISTORY

**(Record all tanks to be deballasted in port state of arrival: If none, go to #6)**

**Tanks/Holds:** Please list all tanks and holds that you have discharged or plan to discharge into waters of the United States or into an approved reception facility (write out, or use codes listed below table). Follow each tank across the page listing all source(s), exchange events, and/or discharge events separately. List each tank on a separate line. Port and starboard tanks with identical ballast water histories may be included on same line. Please use an additional page if necessary, being careful to include ship name, date, and IMO number at the top of each. For tanks with multiple sources: list 3 largest sources from last 30 days on separate lines. If more than 3 sources, include a 4th line for the respective tank(s) that indicated "Multiple" in port column and list the remaining tank volume not included in the 3 largest sources (i.e., total tank volume minus volume of the 3 largest sources). See example #1 on sample ballast reporting form.

### **-BW SOURCES**

**Date:** Record date of ballast water uptake. Use European format (DDMMYY).

**Port or latitude/longitude:** Record location of ballast water uptake, no abbreviations for ports.

**Volume:** Record total volume of ballast water uptake, with volume units.

**Temp:** Record water temperature at time of ballast water uptake, in degrees Celsius (include units).

### **-BW MANAGEMENT PRACTICES-**

**Date:** Date of ballast water management practice. If exchanges occurred over multiple days, list the day when exchanges were completed. Use European format (DDMMYY).

**Endpoint or latitude/longitude:** Report location of ballast water management practice. If an exchange occurred over an extended distance, list the end point latitude and longitude.

**Volume:** Report total volume of ballast water moved (i.e., gravitated and pumped into tanks, discharged to reception facility) during management practice, with units.

**% Exch.:** (Note: for effective flow through exchange, this value should be at least 300%).

$$\% \text{ Exchange} = \frac{\text{Total Volume added by Refill or Flow Through}}{\text{Capacity of Ballast Tank or Hold}} \times (100\%)$$

**Method:** Indicate management method using code (ER = empty/refill, FT = flow through, ALT = alternative method).

**Sea Ht . (m):** Estimate the sea height in meters at the time of the ballast water exchange if this method was used. (Note: this is the combined height of the wind-seas and swell, and does not refer to water depth).

### **-BW DISCHARGES-**

**Date:** Date of ballast water discharge. Use European format (DDMMYY).

**Port or latitude/longitude:** Report location of ballast water discharge, no abbreviations for ports.

**Volume:** Report volume of ballast water discharged, with units.

**Salinity:** Document salinity of ballast water at the time of discharge, with units (i.e., specific gravity (sg) or parts per thousand (ppt)).

## SECTION 6. TITLE AND SIGNATURE

**Responsible officer's name and title (printed) and signature:** Print name and title, include signature.

IS THIS AN AMENDED BALLAST REPORTING FORM? YES ☐ NO ☐

**4. BALLAST WATER MANAGEMENT**

Of tanks to be discharged, how many:      Total No. Ballast Water Tanks to be discharged:      Underwent Exchange:      Underwent Alternative Management:

Please specify alternative method(s) used, if any: \_\_\_\_\_

If no ballast treatment conducted, state reason why not: \_\_\_\_\_

Ballast management plan on board?	YES <input type="checkbox"/>	NO <input type="checkbox"/>	Management plan implemented?	YES <input type="checkbox"/>	NO <input type="checkbox"/>
IMO ballast water guidelines on board [res. A.868(20)]?	YES <input type="checkbox"/>	NO <input type="checkbox"/>			

[illegible]

6. RESPONSIBLE OFFICER'S NAME AND TITLE, PRINTED AND SIGNATURE:

§ 151.3000

33 CFR Ch. I (7–1–11 Edition)

Vessels equipped with ballast water tanks bound for all ports or places within the waters of the United States after operating outside the EEZ (which includes the equivalent zone of Canada).	
Bound for	You must submit your report as detailed below.
The Great Lakes .....	Fax the information at least 24 hours before the vessel arrives in Montreal, Quebec, to the USCG COTP Buffalo, Massena Detachment (315–769–5032) or to the Saint Lawrence Seaway Development Corporation (315–764–3250). In lieu of faxing, vessels that are not U.S. or Canadian flagged may complete the ballast water information section of the St. Lawrence Seaway “Pre-entry Information from Foreign Flagged Vessel Form”.
Hudson River north of the George Washington Bridge.	Fax the information to the COTP New York at (718–354–4249) at least 24 hours before the vessel arrives at New York, New York. *NOTE: Vessels entering COTP New York Zone which are not bound up the Hudson River north of George Washington Bridge should submit the form in accordance with the instructions in the following block.
All other U.S. Ports .....	Report before departing the port or place of departure if voyage is less than 24 hours, or at least 24 hours before arrival at the port or place of destination if the voyage exceeds 24 hours; and submit the required information to the National Ballast Information Clearinghouse (NBIC) by one of the following means: Via the Internet at <a href="http://invasions.si.edu/NBIC/bwform.html">http://invasions.si.edu/NBIC/bwform.html</a> ; E-mail to <a href="mailto:NBIC@BALLASTREPORT.ORG">NBIC@BALLASTREPORT.ORG</a> ; Fax to 301–261–4319; or Mail the information to U.S. Coast Guard, c/o SERC. P.O. Box 28, Edgewater, MD 21037–0028.
Vessels that have not operated outside the EEZ, which are equipped with ballast water tanks and are bound for all ports or places within the waters of the United States.	
Bound for	You must submit your report as detailed below:
All U.S. ports including the Great Lakes and Hudson River North of George Washington Bridge.	Report before departing the port or place of departure if voyage is less than 24 hours, or at least 24 hours before arrival at the port or place of destination if the voyage exceeds 24 hours; and submit the required information to the National Ballast Information Clearinghouse (NBIC) by one of the following means: Via the Internet at <a href="http://invasions.si.edu/NBIC/bwform.html">http://invasions.si.edu/NBIC/bwform.html</a> ; E-mail to <a href="mailto:NBIC@BALLASTREPORT.ORG">NBIC@BALLASTREPORT.ORG</a> ; Fax to 301–261–4319; or Mail to U.S. Coast Guard, c/o SERC, P.O. Box 28, Edgewater, MD 21037–0028.

If any information changes, send an amended form before the vessel departs the waters of the United States.

An agency may not conduct or sponsor, and a person is not required to respond to a collection of information unless it displays a valid OMB control number. The Coast Guard estimates that the average burden for this report is 35 minutes. You may submit any comments concerning the accuracy of this burden estimate or any suggestions for reducing the burden to: Commandant (CG–5224), U.S. Coast Guard, 2100 2nd St., SW. Stop 7126, Washington, DC 20593–7126, or Office of Management and Budget, Paperwork Reduction Project (1625–0069), Washington, DC 20503.

[USCG–1998–3423, 64 FR 26682, May 17, 1999, as amended at 66 FR 58391, Nov. 21, 2001; USCG–2002–13147, 69 FR 32870, June 14, 2004; USCG–2005–21531, 70 FR 36349, June 23, 2005; USCG–2008–0179, 73 FR 35014, June 19, 2008; USCG–2010–0351, 75 FR 36284, June 25, 2010; USCG–2011–0257, 76 FR 31837, June 2, 2011]

## Subpart E—Definition of Marine Debris for the Purposes of the Marine Debris Research, Prevention, and Reduction Act

AUTHORITY: 33 U.S.C. 1951–1958 (2006); 33 CFR 1.05–1; Department of Homeland Security Delegation No. 0170.1.

### § 151.3000 Definition of marine debris for the purposes of the Marine Debris Research, Prevention, and Reduction Act.

(a) *Marine debris.* For the purposes of the Marine Debris Research, Prevention, and Reduction Act (33 U.S.C. 1951–

1958 (2006)) only, marine debris is defined as any persistent solid material that is manufactured or processed and directly or indirectly, intentionally or unintentionally, disposed of or abandoned into the marine environment or the Great Lakes.

(b) NOAA and the Coast Guard have jointly promulgated the definition of marine debris in this part. NOAA’s regulation may be found in 15 CFR part 909.

[74 FR 45560, Sept. 3, 2009]